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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
10/080,574	02/25/2002	John B. Beavers	12016-0004	8681

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EXAMINER

PATEL, NIRAV B

ART UNIT	PAPER NUMBER
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2135

DATE MAILED: 07/27/2005

Please find below and/or attached an Office communication concerning this application or proceeding.

Office Action Summary

Application No.

10/080,574

Applicant(s)

BEAVERS, JOHN B.

Examiner

Nirav Patel

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-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

- 1) ☒ Responsive to communication(s) filed on 25 February 2002.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

- 4) ☒ Claim(s) 1-22 is/are pending in the application.
- 4a) Of the above claim(s) _____ is/are withdrawn from consideration.
- 5) ☐ Claim(s) _____ is/are allowed.
- 6) ☒ Claim(s) 1-4, 6-9 and 13-21 is/are rejected.
- 7) ☒ Claim(s) 5, 10-12 and 22 is/are objected to.
- 8) ☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☒ The drawing(s) filed on 25 February 2002 is/are: a) ☒ accepted or b) ☐ objected to by the Examiner.
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some * c) ☐ None of:
- ☐ Certified copies of the priority documents have been received.
 - ☐ Certified copies of the priority documents have been received in Application No. _____.
 - ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

* See the attached detailed Office action for a list of the certified copies not received.

Attachment(s)

- | | |
|--|---|
| 1) <input checked="" type="checkbox"/> Notice of References Cited (PTO-892) | 4) <input type="checkbox"/> Interview Summary (PTO-413)
Paper No(s)/Mail Date. _____ |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948) | 5) <input type="checkbox"/> Notice of Informal Patent Application (PTO-152) |
| 3) <input checked="" type="checkbox"/> Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)
Paper No(s)/Mail Date <u>(2) 6/17/04</u> . | 6) <input type="checkbox"/> Other: _____ |

DETAILED ACTION

1. This action is in response to the application filed on 2/25/2002.
2. Claims 1-22 are under examination.

Claim Objections

3. Claim 22 is objected to because of the following informalities: " the system of claim 11" should be "the method of claim 11" at line 1. Appropriate correction is required.

Claim Rejections - 35 USC § 103

The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

4. Claims 1-3, 6-8, 13-15, 17-20 and 21 are rejected under 35 U.S.C. 103(a) as being unpatentable over Houston et al. (US Pub No. 2002/0019945) and in view of Blakely-Fogel et al (US Patent No. 4,864,492).

As per claim 1, Houston teaches:

providing a plurality of enterprise device outputs [**paragraph 0009 lines 2-3 "managing a large amount of security event data collected from security devices"**], at least a

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portion of the outputs having different formats, each output containing an event relating to an enterprise device; translating each output into a common format event [**paragraph 0050 lines 10-11, page 5 lines 1-3 “the collector 225 is gathering data form variety of different security system located throughout the network, the collector 225 preferably coverts the varied data to a uniform format” Fig. 8 and Fig. 16],**

applying one or more rules from a set of rules to the knowledge-containing common format event to generate the alert indication [**paragraph 0009 lines 5-6 “applying the criteria (i.e. rules) to the collected data to produce a result (i.e. alert)” paragraph 0009 lines 10-13 “the results form applying the criteria can be rendered in a variety of different graphical formats including, but not limited to, tables, graphs, charts and tree diagrams” Fig. 15,16,17].**

Houston doesn't teach that adding knowledge to the common format event using knowledge base table files to generate a knowledge-containing common format event.

However, Blakely-Fogel teaches that adding knowledge (i.e. modifying or changing) to the common format event using knowledge base table files [**Fig. 2]** to generate a knowledge-containing common format event [**Fig. 2 “Knowledge base table”, Fig. 3 “change current data”].**

Therefore, it would have been obvious to a person of ordinary skill in the art at the time the invention was made to incorporate the teaching of Blakely-Fogel into the teaching of Houston to use knowledge base table and to modify the data. The modification would be obvious because one of ordinary skill in the art would be

motivated to utilize the knowledge base table. It represented in rule based information tables. It contains a table of rules of the network architecture known as expert information, so user receives the knowledge of an expert to correct the input errors **[Blakely-Fogel, col. 2 lines 3-6,19-22]**.

As per claim 2, the rejection of claim 1 is incorporated and further Houston teaches:

the common format event (i.e. an output) contains at least a generic description of a specific event occurring as part of each device output **[paragraph 0045 lines 13-17**
“client 115 can initialize and render the display for the scope on an output device, such as a monitor or printer. The display for the scope can comprise one or more tables, charts, graphs, tree diagrams, or other renderings for presenting data to a user (i.e. a generic description of a specific event), Fig. 17].

As per claim 3, the rejection of claim 1 is incorporated and further Blakely-Fogel teaches:

comparing the common format event for each network device to a number of knowledge base table entries contained in a knowledge base table **[Fig. 3, component 34]**, wherein knowledge is added from one or more of the knowledge base table entries when a match (i.e. accept) between the translated common format event and the entry in the knowledge base table is made **[Fig. 3 component 34, 36, Fig. 2]**.

Therefore, it would have been obvious to a person of ordinary skill in the art at the time the invention was made to incorporate the teaching of Blakely-Fogel into the teaching of Houston to use knowledge base table and to modify the data. The modification would be obvious because one of ordinary skill in the art would be motivated to utilize the knowledge base table. It represented in rule based information tables. It contains a table of rules of the network architecture known as expert information, so user receives the knowledge of an expert to correct the input errors **[Blakely-Fogel, col. 2 lines 3-6,19-22]**.

As per claim 6, the rejection of claim 1 is incorporated and further Houston teaches:

the knowledge-containing common format event comprises *one or more names* selected from the group of a device alert, a generic alert, a threat severity, a benign explanation, a recommended action, a common vulnerabilities and exposure code, a conclusion, and a category code, and a corresponding value for each name (i.e. event types) **[Fig. 16 “Event Type”]**.

As per claim 7, the rejection of claim 1 is incorporated and further Houston teaches:

one or more rules determine when or whether the knowledge-containing common format event is generated, and final rule-based additions content of such generated events **[paragraph 0045 lines 6-11 “the configuration criteria (i.e. rules) for the**

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scopes can be stored on the analyzer storage module 230 of database server 145. Typical configuration criteria include sorting security event data by destination address or event type. In step 410 the persistence module 245 retrieves the configuration criteria for the desired scope from the database server 145" Fig. 16,17,18].

As per claim 8, the rejection of claim 7 is incorporated and further Houston teaches:

the rule requires that the each output occur a number of times over a period of time before an alert indication is generated [*paragraph 0051 lines 3-9* "the analysis of data may be initiated by a scheduled trigger within the event manager as in step 905 or in response to an external request from a user as in step 910. An analysis of data typically occurs over a defined time period. In step 915, client 115 inputs a particular start time or the scheduled start time is sent to the analyzer module 265" Fig. 9].

As per claim 13, the rejection of claim 1 is incorporated and further Houston teaches:

the alert indication includes at least a text message describing the event contained in the output of the enterprise device [*paragraph 0045 lines 12-17* "in step 420, client 115 can initialize and render the display for the scope on an output device, such as a monitor or printer. The display for the scope can comprise one or more

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tables, charts, graphs, tree diagrams, or other renderings for presenting data to a user (i.e. a generic description of a specific event)", Fig. 15,17].

As per claim 14, the rejection of claim 13 is incorporated and further Houston teaches:

a threat level is included as part of the alert indication [**paragraph 0058 lines 11-14** "the table 1515 typically indicates when a security event took place, the source and destination addresses of the security event, the event type and priority, and the system that detected the security event" Fig. 15].

As per claim 15, it is a system claim corresponds to method claim 1 and is rejected for the same reason set forth in the rejection of claim 1 above. Further Houston teaches a number of various files (i.e. program/software modules) [**paragraph 0008 lines 7-9**].

As per claim 17, the rejection of claim 15 is incorporated and further claim 17 is a system claim corresponds to a method claim 6 and is rejected for the same reason set forth in the rejection of claim 6 above.

As per claim 18, the rejection of claim 15 is incorporated and further Houston teaches:

the common format event comprises a message, and a number of name and value pairs derived from the output of the enterprise device **[Fig. 16]**.

As per claim 19, the rejection of claim 17 is incorporated and further Houston teaches:

the rule files govern at least the frequency of the generation of the alert indication **[paragraph 0009 lines 5-6 “applying the criteria (i.e. rules) to the collected data to produce a result (i.e. alert)”, paragraph 0051 lines 6-9 “an analysis of data typically occurs over a defined time period. In step 915, client 115 inputs a particular start time or the scheduled start time is sent to the analyzer module 265”]**.

As per claim 20, the rejection of claim 19 is incorporated and is rejected for the same reason set forth in the rejection of claim 18 above.

As per claim 21, the rejection of claim 7 is incorporated and further Blakely-Fogel teaches:

the rule adds information (i.e. modifying or changing data) to the knowledge-containing common format event (i.e. data) **[Fig. 2 knowledge base tables 20, rules 21 and Fig. 3 component 34 and 36 (change current data)]**.

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5. Claims 4, 9 and 16 are rejected under 35 USC 103 (a) for being unpatentable over Houston et al in view of Blakely-Fogel et al, and further in view of Lim (US Pub No. 2004/0250133).

As per claim 4, the rejection of claim 1 is incorporated and Houston and Blakely-Fogel don't clearly teach that the enterprise devices are selected from the group consisting of a server, a firewall, a modem, a work station, a router, a remote machine, an intrusion detection system, an identification and authentication server, network monitoring and management systems, network components, and one or more combinations thereof.

However, Lim discloses that the enterprise devices are selected from the group consisting of a server, a firewall, a modem, a work station, a router, a remote machine, an intrusion detection system etc **[Fig. 1 component 12, alert form IDS/firewall, etc]**.

Therefore, it would have been obvious to a person of ordinary skill in the art at the time the invention was made to incorporate the teaching of Lim into the teaching of Houston and Blakely-Fogel to use event manager for monitoring the events generated from IDS, firewall etc. The modification would be obvious because one of ordinary skill in the art would be motivated to provide better security **protection [Lim, paragraph 0003]**.

As per claim 9, the rejection of claim 1 is incorporated and Houston and Blakely-Fogel don't clearly teach the output is one of an unauthorized login, an unauthorized physical entry, and an attempt to bypass a firewall.

However, Lim discloses that the output (i.e. triggers) is one of an unauthorized login, an unauthorized physical entry, and an attempt to bypass a firewall **[paragraph 0034, lines 1-3, 7-20 "the triggers are in the form of an intrusion detection system, a firewall program, antivirus software, an application software and/or operating systems logs a firewall protecting a corporate network that suffers an Internet Control Message Protocol (ICMP) flood and registers a list of violations will trigger an alarm. An intrusion detection system that detects a string of commands targeted at a corporate mail server for the purpose of exploiting administrator access will trigger an alarm"]**.

Therefore, it would have been obvious to a person of ordinary skill in the art at the time the invention was made to incorporate the teaching of Lim into the teaching of Houston and Blakely-Fogel to use event manager for monitoring the triggers. The modification would be obvious because one of ordinary skill in the art would be motivated to provide better security protection **[Lim, paragraph 0003]**.

As per claim 16, the rejection of claim 15 is incorporated and further claim 16 is a system claim corresponds to a method claim 4 and is rejected for the same reason set forth in the rejection of claim 4 above.

Allowable Subject Matter

6. Claims 5, 10, 11,12 and 22 objected to as being dependent upon a rejected base claim, but would be allowable if rewritten in independent form including all of the limitations of the base claim and any intervening claims.

Conclusion

7. The prior art made of record and not relied upon is considered pertinent to applicant's disclosure.

Pohlmann et al (US Patent No. 6,366,926) discloses a method for routing a subscription request defined by an event filter. The method includes parsing the event filter into an evaluation tree having at least one subexpression, locating the at least one subexpression and determining if the at least one subexpression includes a node specific field.

Farley et al (US Pub. No 2002/0078381) discloses a security management system includes a fusion engine which "fuses" or assembles information from multiple data sources and analyzes this information in order to detect relationships between raw events that may indicate malicious behavior and to provide an organized presentation of information to consoles without slowing down the processing performed by the data sources.

Orchier et al (US Patent No. 6,070,244) discloses a method and system for controlling computer security. The system is a centralized, computer-network

security management tool capable of handling many different kinds of equipment in a standardized format despite differences in the computer security features among the diverse range of computer equipment in the computer network.

Porras et al (US 6,704,874) discloses a method of managing alerts in a network including receiving alerts from network sensors, consolidating the alerts that are indicative of a common incident and generating output reflecting the consolidated alerts.

Diep et al (US 6,671,811) discloses that Detecting harmful or illegal intrusions into a computer network or into restricted portions of a computer network uses a features generator or builder to generate a feature reflecting changes in user and user group behavior over time.

Bowman-Amuah (US 6,324,647) discloses a system, method, and article of manufacture are provided for providing security management in a development architecture framework.

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Nirav Patel whose telephone number is 571-272-5936. The examiner can normally be reached on 8 am - 4:30 pm (M-F).


If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Kim Vu can be reached on 571-272-3859. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300. Information regarding the status of an application may be obtained from the

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Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).

NBP

7/22/05



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